

STATEMENT UNDER 37 CFR 3.73(B)

Applicant/Patent Owner: Tishu Cai, Michael T. Mann, Anita E. Otal, David D. Songstad, Shubha Subbarao, Yuechun Wan and Richard A. Yingling

Application No./Patent No. 10/709,826 Filed/Issue Date: June 1, 2004

Entitled: METHODS FOR CORN TRANSFORMATION

Monsanto Technology LLC, a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 014840, Frame 0272, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

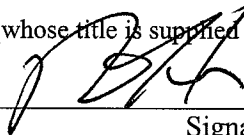
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (*Le.*, a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.081

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.



Signature

January 9, 2006

Date

Robert E. Hanson, Reg. No. 42,628

Printed or Typed Name

(512) 474-5201

Telephone Number

Attorney

Title

MONS:150US

File Code

**UNITED STATES DEPARTMENT OF COMMERCE****Patent and Trademark Office**

ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231



700098093A

JULY 13, 2004

PTAS

MONSANTO COMPANY
GAIL WUELLNER, TIMOTHY K. BALL
800 NORTH LINDBERGH
MAIL ZONE E2NA
ST. LOUIS, MO 63167

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/12/2004 REEL/FRAME: 014840/0272
NUMBER OF PAGES: 7

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
CAI, TISHU DOC DATE: 06/14/2004

ASSIGNOR:
MANN, MICHAEL T. DOC DATE: 07/07/2004

ASSIGNOR:
OTAL, ANITA DOC DATE: 06/16/2004

ASSIGNOR:
SONGSTAD, DAVID D. DOC DATE: 06/22/2004

ASSIGNOR:
SUBBARAO, SHUBHA DOC DATE: 07/09/2004

ASSIGNOR:
WAN, YUECHUN DOC DATE: 06/26/2004

014840/0272 PAGE 2

ASSIGNOR:

YINGLING, RICHARD A.

DOC DATE: 06/11/2004

ASSIGNEE:

MONSANTO TECHNOLOGY LLC
800 NORTH LINDBERGH
ST. LOUIS, MISSOURI 63167

SERIAL NUMBER: 60474589

FILING DATE: 05/30/2003

PATENT NUMBER:

ISSUE DATE:

TITLE: METHODS FOR CORN TRANSFORMATION

SERIAL NUMBER: 10709826

FILING DATE:

PATENT NUMBER:

ISSUE DATE:

TITLE: METHODS FOR CORN TRANSFORMATION

SHAREILL COLES, EXAMINER

ASSIGNMENT DIVISION

OFFICE OF PUBLIC RECORDS

RECORDATION FORM COVER SHEET
PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

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To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof:

1. Name of conveying party(ies):

See Attached

Additional name(s) of conveying party(ies) attached?

☒ Yes ☐ No

2. Name and address of receiving party(ies):

Name: Monsanto Technology LLC

Internal Address: 800 North Lindbergh

St. Louis, Missouri 63167

Street Address: 800 North Lindbergh

City: St. Louis State: MO ZIP: 63167

Additional name(s) & address(es) attached?

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other _____

Execution Date: See Attached

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

60/474,589

10/709,826

B. Patent No.(s)

Additional numbers attached?

☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Gail Wuellner, Timothy K. Ball

Internal Address: Monsanto Company

800 North Lindbergh, Mail Zone E2NA

St. Louis, Missouri 63167

Street Address: 800 North Lindbergh

Mail Zone E2NA

City: St. Louis State: MO ZIP: 63167

6. Total number of applications and patents involved: 2

7. Total fee (37 CFR 3.41) \$ 80.00

☐ Enclosed

☒ Authorized to be charged to deposit account

8. Deposit account number:

13-4125

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Thomas P. McBride

Name of Person Signing

Thomas P. McBride

Signature

12/2/04

Date

Total number of pages including cover sheet, attachments, and document: 7

Recordation Form Cover Sheet (page 2)

Name of Conveying Parties

Execution Date

Tishu Cai

June 14, 2004

Michael T. Mann

July 7, 2004

Anita Otal

June 16, 2004

David D. Songstad

June 22, 2004

Shubha Subbarao

July 9, 2004

Yuechun Wan

June 26, 2004

Richard A. Yingling

June 11, 2004

ASSIGNMENT

WHEREAS, WE, the undersigned, have made, and have an obligation to assign to Monsanto Technology LLC, certain invention or inventions which are disclosed in patent application(s) and/or provisional patent application(s) entitled:

Methods for Corn Transformation

identified as S/N 60/474,589 and filed on May 30, 2003 ; and

Methods for Corn Transformation

identified as S/N 10/709,826 and filed on June 1, 2004 ; and

WHEREAS, Monsanto Technology LLC, of St. Louis, Missouri, a Corporation of the State of Delaware, is desirous of acquiring the entire right, title and interest in and to said invention or inventions and any and all patents to be obtained therefor;

NOW, THEREFORE, FOR GOOD AND VALUABLE CONSIDERATION, the receipt of which is hereby acknowledged, WE do hereby sell, assign and transfer to said Monsanto Technology LLC, its successors and assigns, the entire right, title and interest in and to said invention or inventions, in any form or embodiment thereof, and in and to said application(s); and in and to any and all applications filed in any country based thereon, including the right to file applications in countries other than the country of priority filing under the provisions of any international convention; also in and to any and all improvements on said invention or inventions now or hereafter made by us as employee(s), agent(s) or contractor(s) of said Monsanto Technology LLC; also the entire right, title and interest in and to any and all patents, including reissues and extensions thereof, to be obtained in any country upon said invention, inventions or improvements, and any and all continuing applications, including divisional, continuation and continuation-in-part applications, substitute applications, and applications claiming benefit of an earlier filed provisional application, which may be filed upon said invention, inventions or improvements in any country; and

WE hereby authorize and request the issuing authority to issue any and all patents on said application or applications to said Monsanto Technology LLC, as assignee of the entire interest.

WE further agree, without any payment by Monsanto Technology LLC other than in reimbursement of reasonable expenses we may incur, to communicate to said Monsanto Technology LLC, its representatives, agents or assignees of the entire right, title and interest hereto, any facts relating to said invention, inventions or improvements, including evidence for purposes of interference, opposition or other legal proceedings, whenever requested; testify in any interference, opposition or other legal proceedings, whenever requested; and execute and deliver, on request, all lawful papers required to make any of the foregoing provisions effective.

IN TESTIMONY WHEREOF, WE have hereto set our hands on the dates set after our signatures.

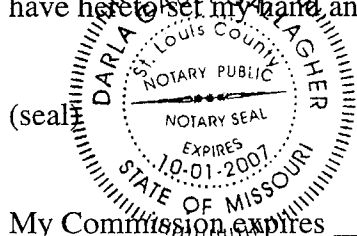
Signature: Tishu Cai Date: 6/14/2004

Name: Tishu Cai

City and state or country of residence: Ellisville, Missouri

State of MO }
County of St. Louis } ss.

On this 14th day of June, 2004, before me personally appeared Tishu Cai, to me known to be the person who executed the foregoing instrument and acknowledged that he/she executed the same as his/her free act and deed; in testimony whereof I have hereto set my hand and official seal on the day last above written.



Darla Ann Gallagher
Notary Public or Consular Officer

My Commission expires 10-01-2007

Signature: Michael T. Mann Date: 7/7/04

Name: Michael T. Mann

City and state or country of residence: Groton, Connecticut

State of Connecticut }
County of New London } ss.

On this 7th day of July, 2004, before me personally appeared Michael T. Mann, to me known to be the person who executed the foregoing instrument and acknowledged that he/she executed the same as his/her free act and deed; in testimony whereof I have hereto set my hand and official seal on the day last above written.

(seal)

Virginia S. Shivers
Notary Public or Consular Officer

My Commission expires 9/30/05

Signature: Anita E. Otal

Date: 6/16/04

Name: Anita Otal

City and state or country of residence: Wildwood, Missouri

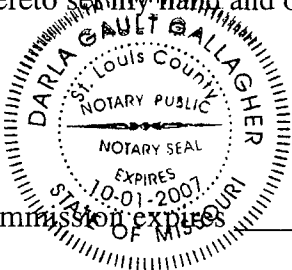
State of MO

County of St. Louis

} ss.
}

On this 16 day of June, 2004, before me personally appeared Anita Otal, to me known to be the person who executed the foregoing instrument and acknowledged that he/she executed the same as his/her free act and deed; in testimony whereof I have hereto set my hand and official seal on the day last above written.

(seal)



Darla Gault Gallagher
Notary Public or Consular Officer

My Commission expires 10-01-07

Signature: David D. Songstad

Date: 6-22-2004

Name: David D. Songstad

City and state or country of residence: Ballwin, Missouri

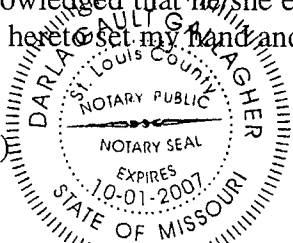
State of MO

County of St. Louis

} ss.
}

On this 22 day of June, 2004, before me personally appeared David D. Songstad, to me known to be the person who executed the foregoing instrument and acknowledged that he/she executed the same as his/her free act and deed; in testimony whereof I have hereto set my hand and official seal on the day last above written.

(seal)



Darla Gault Gallagher
Notary Public or Consular Officer

My Commission expires 10-01-07

Attorney Docket No. 38-21(52501)

Signature: Shubha Subbarao

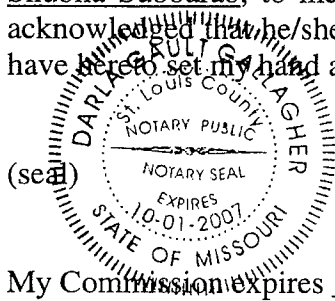
Date: 7/9/04

Name: Shubha Subbarao

City and state or country of residence: Ballwin, Missouri

State of MO }
County of St. Louis } ss.

On this 9th day of July, 2004, before me personally appeared Shubha Subbarao, to me known to be the person who executed the foregoing instrument and acknowledged that he/she executed the same as his/her free act and deed; in testimony whereof I have hereto set my hand and official seal on the day last above written.



Darla Gault Gallagher
Notary Public or Consular Officer

My Commission expires 10-01-07

Signature: Yuechun Wan

Date: June 26, 2004

Name: Yuechun Wan

City and state or country of residence: Madison, Wisconsin

State of WI }
County of Dane } ss.

On this 26 day of June, 2004, before me personally appeared Yuechun Wan, to me known to be the person who executed the foregoing instrument and acknowledged that he/she executed the same as his/her free act and deed; in testimony whereof I have hereto set my hand and official seal on the day last above written.

(seal) Melissa R. Thompson
Notary Public or Consular Officer

My Commission expires 8/28/05

Attorney Docket No. 38-21(52501)

Signature: Richard A. Yingling

Date: 06/11/2004

Name: Richard A. Yingling

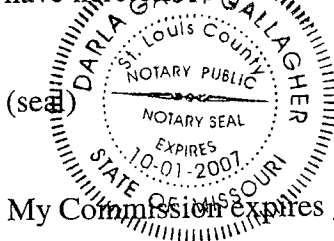
City and state or country of residence: Chesterfield, Missouri

State of MO

County of St. Louis

} ss.

On this 11th day of June, 2004, before me personally appeared Richard A. Yingling, to me known to be the person who executed the foregoing instrument and acknowledged that he/she executed the same as his/her free act and deed; in testimony whereof I have hereunto set my hand and official seal on the day last above written.



Darla Gault Gallagher
Notary Public or Consular Officer

My Commission expires 10-01-2007